

Third Party Organization Recognition Job Aid

Company Name:	Location:
Reviewer:	Date:

Application

Cat	#	Question	Yes	No
APP	1	Has letter of receipt been sent and application logged?		
139.115	1	Does the application indicate the functions the organization is seeking approval for?		
139.120	a	Does the application include a description of the organization? a) Ownership b) Structure c) Organizational components		
	b	General description of clients served/intended to be served?		
	c	Description of work performed by organization within last 3 years? a) Amount b) Type		
	d	Objective evidence of an internal quality management system? a) ANSI Z10 b) ISO 9001 c) Other? (such as RCP)		
	e	Organization procedures and documentation? a) Describes process used to perform audits b) Records to show system effectiveness		
	f	Copies of checklists, forms, tools for recording audit results?		
	g	Procedures for audited organization to appeal audit/grievances?		
	h	Code of ethics applicable to organization and its auditors?		
	i	List of organizations auditors that meet prerequisites?		
	j	Description of means for assuring continued auditor competency?		
	k	Procedures for terminating or removing an auditor?		
	l	Description of means of assuring availability of personnel?		
	m	Description of apprentice or associate auditor program?		
	n	Statement agreeing to Coast Guard compliance inspection?		
	o	Potential conflicts of interest disclosure submitted?		
	p	Statement avowing conflicts of interest by auditors/organization?		
	q	Additional pertinent information included?		

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Auditors

Cat	#	Question	Yes	No
AUD	1	Does auditor possess a High School diploma or equivalent?		
	2	Have 4 yrs experience as Master, Mate, Engineer or other relevant experience? Example: CG Marine Inspector is considered relevant experience.		
	3	Successful completion of ISO 9001:2007 Lead Auditor course or equivalent?		
	4	Successful completion of ISM auditor training course?		
	5	Audit experience as demonstrated by the following: a) Documented experience in auditing ISM (2 mgmt/6 vessels in past 5 yrs) b) Successful apprenticeship completion (1 mgmt/3 vessels under lead auditor)		

Surveyors

SUR	1	Does surveyor possess a High School diploma or equivalent?		
	2	Have 4 yrs experience as Master, Mate, Engineer or other relevant experience? Example: CG Marine Inspector is considered relevant experience.		
	3	Does surveyor hold current accreditation by NAMS, SAMS or other accepted accreditation bureau/society?		